

From: Rao, Sai
Sent: Thu, 22 Dec 2022 07:20:02 -0500
To: Beck, Hugh C.
Cc: Pokorny, Jenna
Subject: Re: (b)(5)

Hi Hugh - unfortunately he has one with FINRA (b)(5)

(b)(5)

On Dec 22, 2022, at 7:00 AM, Beck, Hugh C. <(b)(5)@sec.gov> wrote:

Good morning Jenna – if Chair Gensler doesn't have another meeting immediately after this one, could we extend this to a full hour?

-----Original Appointment-----

From: Pokorny, Jenna <(b)(5)@SEC.GOV>

Sent: Monday, December 19, 2022 12:26 PM

To: Pokorny, Jenna; Fischer, Amanda; Suthammanont, Victor; Gensler, Gary; Slavkin Corzo, Heather; Yerramalli, Prashant; Rao, Sai; Gerig, Austin; Beck, Hugh C.; Saltiel, David; Johnson, Kenneth A. (OCOO); Welshhans, Carolyn; Bottom, David; Percival, Heather

Subject: (b)(5)

When: Friday, December 23, 2022 11:30 AM-12:15 PM (UTC-05:00) Eastern Time (US & Canada).

Where:

-- Do not delete or change any of the following text. --

When it's time, join your Webex meeting here.



More ways to join:

Join from the meeting link

(b)(5)

Join by meeting number

Meeting number (access code): (b)(5)

Meeting password: (b)(6) (b)(6) from phones and video systems)

Tap to join from a mobile device (attendees only)

(b)(6) USA Toll 2
US Toll

Some mobile devices may ask attendees to enter a numeric meeting password.

Join by phone

(b)(6)

Global call-in numbers

Join from a video system or application

Dial (b)(6) @secgov.webex.com

If you are a host, [click here](#) to view host information.

Need help? Go to <https://help.webex.com>

From: Rao, Sai
Sent: Thu, 22 Dec 2022 07:48:41 -0500
To: Beck, Hugh C.
Cc: Pokorny, Jenna
Subject: Re: (b)(5)

That's perfect. Will be really helpful. Thanks!

On Dec 22, 2022, at 7:28 AM, Beck, Hugh C. <(b)(5)@sec.gov> wrote:

Sorry – I meant “will illustrate”

From: Beck, Hugh C.
Sent: Thursday, December 22, 2022 5:23 AM
To: Rao, Sai <(b)(5)@SEC.GOV>
Cc: Pokorny, Jenna <(b)(5)@SEC.GOV>
Subject: RE: (b)(5)

Thanks Sai. No problem – (b)(5)

(b)(5)

From: Rao, Sai <(b)(5)@SEC.GOV>
Sent: Thursday, December 22, 2022 5:20 AM
To: Beck, Hugh C. <(b)(5)@SEC.GOV>
Cc: Pokorny, Jenna <(b)(5)@SEC.GOV>
Subject: Re: (b)(5)

Hi Hugh - unfortunately he has one with FINRA (b)(5)

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Sent: Monday, December 19, 2022 12:26 PM
To: Pokorny, Jenna; Fischer, Amanda; Suthammanont, Victor; Gensler, Gary; Slavkin Corzo, Heather; Yerramalli, Prashant; Rao, Sai; Gerig, Austin; Beck, Hugh C.; Saltiel, David; Johnson, Kenneth A. (OCOO); Welshhans, Carolyn; Bottom, David; Percival, Heather
Subject: (b)(5)

When: Friday, December 23, 2022 11:30 AM-12:15 PM (UTC-05:00) Eastern Time (US & Canada).

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From: Rao, Sai
Sent: Thu, 22 Dec 2022 15:10:40 -0500
To: Huntley, Anna C
Cc: Barbero, Megan; Pokorny, Jenna; Berkovitz, Dan; Helvin, Lisa; Conley, Michael A.; Hardin, Tracey; Mitchell, Meridith
Subject: Re: OGC Needed in 4:00 [b](6) Call

Hi y'all,

[b](5) will still want someone from GC on. [b](5)
[b](5)

Thanks,
Sai

On Dec 22, 2022, at 3:07 PM, Huntley, Anna C <[b](6)@sec.gov> wrote:

Hi all, just checking back on this. Please let me know if there are any further details you need. Cc'ing Sai for awareness.

From: Huntley, Anna C
Sent: Thursday, December 22, 2022 2:22 PM
To: Barbero, Megan <[b](6)@sec.gov>; Pokorny, Jenna <[b](6)@sec.gov>; Berkovitz, Dan <[b](6)@SEC.GOV>; Helvin, Lisa <[b](6)@sec.gov>
Cc: Conley, Michael A. <[b](6)@SEC.GOV>; Hardin, Tracey <[b](6)@sec.gov>; Mitchell, Meridith <[b](6)@sec.gov>
Subject: RE: OGC Needed in 4:00 [b](6) Call

Hi all,

Sai asked that GC be included [b](5) Andre Owens with WilmerHale [b](5)
[b](5) Let me know what further details you might need, and I can text Sai.

From: Barbero, Megan <[b](6)@SEC.GOV>
Sent: Thursday, December 22, 2022 2:15 PM
To: Pokorny, Jenna <[b](6)@SEC.GOV>; Berkovitz, Dan <[b](6)@SEC.GOV>; Helvin, Lisa <[b](6)@SEC.GOV>
Cc: Huntley, Anna C <[b](6)@SEC.GOV>; Conley, Michael A. <[b](6)@SEC.GOV>; Hardin, Tracey <[b](6)@sec.gov>; Mitchell, Meridith <[b](6)@sec.gov>
Subject: RE: OGC Needed in 4:00 [b](6) Call

Adding a few others in GC as well. Thanks.

From: Pokorny, Jenna <(b)(6)@SEC.GOV>
Sent: Thursday, December 22, 2022 2:14 PM
To: Barbero, Megan <(b)(6)@SEC.GOV>; Berkovitz, Dan <(b)(6)@SEC.GOV>; Helvin, Lisa <(b)(6)@SEC.GOV>
Cc: Huntley, Anna C <(b)(6)@SEC.GOV>
Subject: RE: OGC Needed in 4:00 (b)(6) Call

Anna, can you loop in Megan? I don't have any information about that.

From: Barbero, Megan <(b)(6)@SEC.GOV>
Sent: Thursday, December 22, 2022 2:10 PM
To: Pokorny, Jenna <(b)(6)@SEC.GOV>; Berkovitz, Dan <(b)(6)@SEC.GOV>; Helvin, Lisa <(b)(6)@SEC.GOV>
Cc: Huntley, Anna C <(b)(6)@SEC.GOV>
Subject: RE: OGC Needed in 4:00 (b)(6) Call

Jenna, (b)(6)
(b)(6) I can participate in the call, but we should know what the agenda is in advance. Thank you!

From: Pokorny, Jenna <(b)(6)@SEC.GOV>
Sent: Thursday, December 22, 2022 2:08 PM
To: Barbero, Megan <(b)(6)@SEC.GOV>; Berkovitz, Dan <(b)(6)@SEC.GOV>; Helvin, Lisa <(b)(6)@SEC.GOV>
Cc: Huntley, Anna C <(b)(6)@SEC.GOV>
Subject: OGC Needed in 4:00 (b)(6) Call
Importance: High

Hi – I just got word from Anna that (b)(6) 4:00 call with externals (b)(6) and (b)(6) would like OGC representation? Sorry for the fire drill – can you find someone from OGC leadership to sit in with (b)(6)?

From: Rao, Sai on behalf of Microsoft Outlook
Sent: Fri, 23 Dec 2022 10:21:47 -0500
To: Pokorny, Jenna
Subject: Meeting Forward Notification: FINRA Leadership Meeting with Chair Gensler Re: [REDACTED]

Your meeting was forwarded

Rao, Sai has forwarded your meeting request to additional recipients.

FINRA Leadership Meeting with Chair Gensler Re: [REDACTED]

Friday, December 23, 2022 12:15 PM-1:00 PM.

Zhu, Haoxiang

From: Pokorny, Jenna on behalf of Rao, Sai
Sent: Fri, 23 Dec 2022 10:21:47 -0500
To: Zhu, Haoxiang
Subject: FW: FINRA Leadership Meeting with Chair Gensler Re: [REDACTED]

-----Original Appointment-----

From: Pokorny, Jenna <[REDACTED]@SEC.GOV>
Sent: Tuesday, December 20, 2022 8:43 AM
To: Pokorny, Jenna; Gensler, Gary; Slavkin Corzo, Heather; Fischer, Amanda; Rao, Sai; Percival, Heather; SEC Office of Public Engagement; Miller, Kay
Subject: FINRA Leadership Meeting with Chair Gensler Re: [REDACTED]
When: Friday, December 23, 2022 12:15 PM-1:00 PM (UTC-05:00) Eastern Time (US & Canada).
Where:

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Join meeting

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Meeting number (access code): [REDACTED]

Meeting password: [REDACTED] ([REDACTED] from phones and video systems)

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[REDACTED]

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US Toll

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[REDACTED]

USA Toll 2

(b)(6) US Toll
Global call-in numbers

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Dial (b)(6)@secgov.webex.com

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From: Nagashunmugam, Minu
Sent: Thu, 22 Dec 2022 15:21:30 -0500
To: (b)(6)
Cc: Fischer, Amanda; Zhu, Haoxiang; Rao, Sai; Barbero, Megan; Huntley, Anna C
Subject: RE: Brief Book 12/22 Thursday

Gary – Megan Barbero will also be joining you (b)(6) call at 4pm. Thanks!

From: Nagashunmugam, Minu <(b)(6)@SEC.GOV>
Sent: Wednesday, December 21, 2022 6:00 PM
To: (b)(6)@SEC.GOV>
Cc: Barbero, Megan <(b)(6)@SEC.GOV>; Berkovitz, Dan <(b)(6)@SEC.GOV>; Bloom, Liz <(b)(6)@SEC.GOV>; Burris, Kevin <(b)(6)@SEC.GOV>; Chea, Keo <(b)(6)@SEC.GOV>; Fischer, Amanda <(b)(6)@SEC.GOV>; Fischer, YJ <(b)(6)@SEC.GOV>; Frayer, Corey <(b)(6)@SEC.GOV>; Havenstein, Philipp <(b)(6)@SEC.GOV>; Johnson, Aisha <(b)(6)@SEC.GOV>; Klemmer, Corey <(b)(6)@SEC.GOV>; Krawitz, Jacob D. <(b)(6)@sec.gov>; Morse, Mika <(b)(6)@SEC.GOV>; Percival, Heather <(b)(6)@SEC.GOV>; Pokorny, Jenna <(b)(6)@SEC.GOV>; Rao, Sai <(b)(6)@SEC.GOV>; Roper, Barbara <(b)(6)@SEC.GOV>; Schneider, Scott <(b)(6)@SEC.GOV>; Slavkin Corzo, Heather <(b)(6)@SEC.GOV>; Stone, Matthew <(b)(6)@SEC.GOV>; Sutaria, Ajay <(b)(6)@SEC.GOV>; Suthammanont, Victor <(b)(6)@SEC.GOV>; Wachter, Jessica <(b)(6)@SEC.GOV>; Yerramalli, Prashant <(b)(6)@SEC.GOV>; Nagashunmugam, Minu <(b)(6)@SEC.GOV>
Subject: Brief Book 12/22 Thursday

Gary - Here are your Thursday brief book materials. There are *no items* in your SharePoint folder today.

Per our conversation earlier today, items requiring your response are hyperlinked in the book item in blue text. The links will take you directly to edit in SharePoint. Please let me or Matthew Stone know if the links do not work.

THURSDAY BRIEF BOOK

Responses Needed

1. 12/14 OCM Thank You Notes (M. Stone)
 - a. **Ask: Please review and approve by Thursday (12/22).**
2. Holiday Note to Staff (M. Stone)
 - a. **Ask: Please review and approve by Thursday (12/22).**

Briefings for Meetings

1. Advocates at 11:00 am (OPE).
 - a. Background [No document]
 - i. External Participants: Brandon Rees, Deputy Director, Office of Investment, AFL-CIO; Carin Zelenko, Director of Capital Strategies, AFL-CIO; Natalia Renta, Senior Policy Counsel for Corporate Governance and

Power at AFR Education Fund; Jessica Garcia, Climate Finance Policy Analyst, AFR Education Fund; Dennis Kelleher, Co-founder, President and Chief Executive Officer, Better Markets; Steve Hall, Legal Director and Securities Specialist, Better Markets; Alexandra Thornton, Senior director of Tax Policy, Economic Center for American Progress; Steven Rothstein, Managing Director, Ceres; Randi Mail, Director of Campaigns, Ceres; Dan Mauer, Director of Government Affairs, Communications Workers of America (CWA); Tyler Gellasch, President and Chief Executive Officer, Healthy Markets Association (HMA); Chris Nagy, Co-Founder and Director, Healthy Markets Association (HMA); Josh Zinner, Chief Executive Officer, Interfaith Center on Corporate Responsibility (ICCR); Lisa Gilbert, Executive Vice President, Public Citizen; Paul Rissman, Co-founder, Rights CoLab; Sanford Lewis, Director, Shareholder Rights Group; and Renaye Manley, Deputy Director, Strategic Initiatives, Service Employees International Union (SEIU).

- ii. SEC Staff Participants: P. Yerramalli. Other internal participants may attend as well.
- iii. Topics: (b)(5)
- 2. (b)(5) Briefing with Finra at 4:00 pm (OPE).
 - a. Background [No document]
 - i. External Participants:
 - 1. Finra Leadership Team: Soniya Shrivastav, Director, Regulatory Initiatives, Legal, Intercontinental Exchange; Cindy Retterer, Vice President, Nasdaq; Len Gatrell, Senior Director, FINRA; Jennifer Lamie, Vice President, Chief Regulatory Advisor, Cboe; and Larry O'Leary, Vice President, MIAX
 - 2. CAT LLC: Michael Simon, Independent Senior Advisor, Deloitte, and Outgoing CAT Chairman; Brandon Becker, Managing Director & Deputy General Counsel, DTCC, and Incoming CAT Chairman; and Andre Owens, Partner, WilmerHale, and CAT LLC Counsel.
 - ii. SEC Staff Participants: A. Fischer, H. Zhu, and S. Rao
 - iii. Topics: (b)(5)

Additional Links: The Master Schedule; Project Management; and Rulemaking Summary from OS.

Minu Nagashunmugam

Special Assistant to the Chief of Staff

Office of Chair Gary Gensler | U.S. Securities and Exchange Commission

+(b)(6)

 **U.S. Securities and
Exchange Commission**

From: Lim, Nathasha
Sent: Thu, 22 Dec 2022 16:37:56 -0500
To: Nagashunmugam, Minu
Cc: Fischer, Amanda; Zhu, Haoxiang; Rao, Sai; Huntley, Anna C; Chea, Keo; Pokorny, Jenna
Subject: Brief book, 12/23 briefing - Meeting FINRA Leadership re: [REDACTED]
Attachments: 12-23-22 Briefing - [REDACTED]

Hi Minu, here is the background for the Chair's meeting tomorrow with FINRA leadership re: [REDACTED]

Meeting with FINRA Leadership re: [REDACTED]
Friday, 12/23, 12:15 – 1:00PM

External Participants:

- FINRA
 - Robert Cook, Chief Executive Officer
 - Bob Colby, Chief Legal Officer
 - Steve Randich, Chief Information Officer
 - Todd Diganci, Chief Financial Officer
 - Nathaniel Stankard, Executive Vice President and Chief of Staff, Regulatory Operations
 - Stephanie Dumont, Head of Market Regulation
- FINRA CAT LLC
 - Shelly Bohlin, Chief Operating Officer
 - Scott Donaldson, Chief Technology Officer

SEC Staff Participants:

- Amanda Fischer
- Haoxiang Zhu
- Sai Rao

Topics:

- [REDACTED]

Meeting with FINRA Leadership re: [b](5)

Friday, 12/23, 12:15 – 1:00PM

External Participants:

- FINRA
 - Robert Cook, Chief Executive Officer
 - Bob Colby, Chief Legal Officer
 - Steve Randich, Chief Information Officer
 - Todd Diganci, Chief Financial Officer
 - Nathaniel Stankard, Executive Vice President and Chief of Staff, Regulatory Operations
 - Stephanie Dumont, Head of Market Regulation
- FINRA CAT LLC
 - Shelly Bohlin, Chief Operating Officer
 - Scott Donaldson, Chief Technology Officer

SEC Staff Participants:

- Amanda Fischer
- Haoxiang Zhu
- Sai Rao

Topics:

- [b](5)

From: Nagashunmugam, Minu
Sent: Thu, 22 Dec 2022 18:02:20 -0500
To: (b)(6)
Cc: Barbero, Megan; Berkovitz, Dan; Bloom, Liz; Burris, Kevin; Chea, Keo; Fischer, Amanda; Fischer, YJ; Frayer, Corey; Havenstein, Philipp; Johnson, Aisha; Klemmer, Corey; Krawitz, Jacob D.; Morse, Mika; Percival, Heather; Pokorny, Jenna; Rao, Sai; Roper, Barbara; Schneider, Scott; Slavkin Corzo, Heather; Stone, Matthew; Sutaria, Ajay; Suthammanont, Victor; Wachter, Jessica; Yerramalli, Prashant; Nagashunmugam, Minu
Subject: Brief Book 12/23 Friday
Attachments: (b)(6)

(b)(6)

Gary - Here are your Friday brief book materials. Please note that items 2c and 2e for Briefings for Meetings could not be uploaded to SharePoint and are attached above.

FRIDAY BRIEF BOOK

Responses Needed

1. *OIAD Action Memo Revisions* (B. Roper)
 - a. **Background:** Barb will discuss these items in tomorrow's policy matters (b)(6)
 (b)(6) The attached memo explains the problem and includes the draft language OGC has come up with.
 - b. **Ask:** (b)(6)

Briefings for Meetings

1. **Finra Leadership Meeting at 12:15 pm (OPE).**
 - a. **Background** [No document]
 - i. **External Participants:**
 1. **FINRA:** Robert Cook, Chief Executive Officer; Bob Colby, Chief Legal Officer; Steve Randich, Chief Information Officer; Todd Diganci, Chief Financial Officer; Nathaniel Stankard, Executive Vice President and Chief of Staff, Regulatory Operations; and Stephanie Dumont, Head of Market Regulation.
 2. **FINRA CAT LLC:** Shelly Bohlin, Chief Operating Officer; and Scott Donaldson, Chief Technology Officer.
 - ii. **SEC Staff Participants:** A. Fischer, H. Zhu, and S. Rao
 - iii. **Topics:** (b)(6)
 (b)(6)
2. **Professor Howell Jackson at 1:00 pm (OPE)**
 - a. Link to Professor Jackson's Biography at Harvard Law School
 - b. *Background Email on Howell Jackson from Amanda Fischer*
 - c. (b)(6)

d. (b)(5)

e.

f.

g. Background

i. External Participants: Howell Jackson, James S. Reid, Jr.

Professor of Law, Harvard Law School

ii. SEC Staff Participants: A. Fischer

iii. Topics: (b)(5)

(b)(5)

Additional Links: The Master Schedule; Project Management; and Rulemaking Summary from OS.

Minu Nagashunmugam

Special Assistant to the Chief of Staff

Office of Chair Gary Gensler | U.S. Securities and Exchange Commission

(b)(6)

**U.S. Securities and
Exchange Commission**

From: Zhu, Haoxiang
Sent: Fri, 23 Dec 2022 10:14:51 -0500
To: Pokorny, Jenna
Cc: Rao, Sai
Subject: RE: Brief book, 12/23 briefing - Meeting FINRA Leadership re: [REDACTED]

Hi Jenna

Looks like I'm supposed to be on this call? If so could you please send me the link?

Thanks and happy holidays! It was wonderful seeing you in person last week!

Best,
[REDACTED]

From: Lim, Nathasha [REDACTED]@SEC.GOV>
Sent: Thursday, December 22, 2022 4:38 PM
To: Nagashunmugam, Minu [REDACTED]@SEC.GOV>
Cc: Fischer, Amanda [REDACTED]@SEC.GOV>; Zhu, Haoxiang [REDACTED]@SEC.GOV>; Rao, Sai [REDACTED]@SEC.GOV>; Huntley, Anna C [REDACTED]@SEC.GOV>; Chea, Keo [REDACTED]@SEC.GOV>; Pokorny, Jenna [REDACTED]@SEC.GOV>
Subject: Brief book, 12/23 briefing - Meeting FINRA Leadership re: [REDACTED]

Hi Minu, here is the background for the Chair's meeting tomorrow with FINRA leadership re: [REDACTED]

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Friday, 12/23, 12:15 – 1:00PM

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 - Stephanie Dumont, Head of Market Regulation
- FINRA CAT LLC
 - Shelly Bohlin, Chief Operating Officer
 - Scott Donaldson, Chief Technology Officer

SEC Staff Participants:

- Amanda Fischer
- Haoxiang Zhu
- Sai Rao

Topics:

- (b)(5)

From: Pokorny, Jenna
Sent: Fri, 23 Dec 2022 10:23:07 -0500
To: Zhu, Haoxiang
Cc: Rao, Sai
Subject: RE: Brief book, 12/23 briefing - Meeting FINRA Leadership re: [REDACTED]

Sorry about that! Adding you now

From: Zhu, Haoxiang <[REDACTED]@SEC.GOV>
Sent: Friday, December 23, 2022 10:15 AM
To: Pokorny, Jenna <[REDACTED]@SEC.GOV>
Cc: Rao, Sai <[REDACTED]@SEC.GOV>
Subject: RE: Brief book, 12/23 briefing - Meeting FINRA Leadership re: [REDACTED]

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[Handwritten signature]

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To: Nagashunmugam, Minu <[REDACTED]@SEC.GOV>
Cc: Fischer, Amanda <[REDACTED]@SEC.GOV>; Zhu, Haoxiang <[REDACTED]@SEC.GOV>; Rao, Sai <[REDACTED]@SEC.GOV>; Huntley, Anna C <[REDACTED]@SEC.GOV>; Chea, Keo <[REDACTED]@SEC.GOV>; Pokorny, Jenna <[REDACTED]@SEC.GOV>
Subject: Brief book, 12/23 briefing - Meeting FINRA Leadership re: [REDACTED]

Hi Minu, here is the background for the Chair's meeting tomorrow with FINRA leadership re: [REDACTED]

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Friday, 12/23, 12:15 – 1:00PM

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 - Stephanie Dumont, Head of Market Regulation

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 - Shelly Bohlin, Chief Operating Officer
 - Scott Donaldson, Chief Technology Officer

SEC Staff Participants:

- Amanda Fischer
- Haoxiang Zhu
- Sai Rao

Topics:

- (b)(5)

From: Beck, Hugh C.
Sent: Fri, 23 Dec 2022 18:39:07 +0000
To: Rao, Sai; Gerig, Austin
Subject: Re: Great job!

Sounds like it was worth the effort then - Thanks for getting it set up Sai.

Happy holidays to both of you!

From: Rao, Sai <(b)(6)@SEC.GOV>

Sent: Friday, December 23, 2022 11:00:20 AM

To: Gerig, Austin <(b)(6)@SEC.GOV>; Beck, Hugh C. <(b)(6)@SEC.GOV>

Subject: Great job!

Hi Austin and Hugh,

Great job and fantastic idea to walk (b)(6) through that. He actually brought it up at the end of the FINRA meeting (b)(5)

Thanks and happy holidays!

Sai